

UNITED STATES OF AMERICA
NATIONAL LABOR RELATIONS BOARD
CHARGE AGAINST EMPLOYER

DO NOT WRITE IN THIS SPACE	
Case	Date Filed
28-CA-315961	April 4, 2023

INSTRUCTIONS:

File an original with NLRB Regional Director for the region in which the alleged unfair labor practice occurred or is occurring.

1. EMPLOYER AGAINST WHOM CHARGE IS BROUGHT	
a. Name of Employer Rocket Mortgage	b. Tel. No. (313)730-4770
	c. Cell No. (616)633-6894
	f. Fax No. (855)863-3200
d. Address (Street, city, state, and ZIP code) 1 N Central Ave. Suite 2000 Phoenix, AZ 85004	e. Employer Representative Tiffany Snow - Senior Counsel
	g. e-mail tiffanysnow@rocketcentral.com
	h. Number of workers employed 22,623
i. Type of Establishment (factory, mine, wholesaler, etc.) Mortgage Lender	j. Identify principal product or service Consumer Mortgage Lending
The above-named employer has engaged in and is engaging in unfair labor practices within the meaning of section 8(a), subsections (1) and (list subsections) of the National Labor Relations Act, and these unfair labor practices are practices affecting commerce within the meaning of the Act, or these unfair labor practices are practices affecting commerce within the meaning of the Act and the Postal Reorganization Act.	
2. Basis of the Charge (set forth a clear and concise statement of the facts constituting the alleged unfair labor practices) Retaliation initiated against a team member for providing feedback when directed and asked. A demotion occurred as a result.	
3. Full name of party filing charge (if labor organization, give full name, including local name and number) (b) (6), (b) (7)(C)	
4a. Address (Street and number, city, state, and ZIP code) (b) (6), (b) (7)(C)	4b. Tel. No. (b) (6), (b) (7)(C)
	4c. Cell No. (b) (6), (b) (7)(C)
	4d. Fax No.
	4e. e-mail (b) (6), (b) (7)(C)
5. Full name of national or international labor organization of which it is an affiliate or constituent unit (to be filled in when charge is filed by a labor organization)	
6. DECLARATION	
I declare that I have read the above charge and that the statements (b) (6), (b) (7)(C) are true to the best of my knowledge and belief.	Tel. No. (b) (6), (b) (7)(C)
(signature of representative or person making charge)	Office, if any, Cell No. (b) (6), (b) (7)(C)
(Print/type name and title or office, if any)	Fax No.
Address (b) (6), (b) (7)(C)	e-mail (b) (6), (b) (7)(C)
Date April 4, 2023	

**WILLFUL FALSE STATEMENTS ON THIS CHARGE CAN BE PUNISHED BY FINE AND IMPRISONMENT (U.S. CODE, TITLE 18, SECTION 1001)
PRIVACY ACT STATEMENT**

Solicitation of the information on this form is authorized by the National Labor Relations Act (NLRA), 29 U.S.C. § 151 *et seq.* The principal use of the information is to assist the National Labor Relations Board (NLRB) in processing unfair labor practice and related proceedings or litigation. The routine uses for the information are fully set forth in the Federal Register, 71 Fed. Reg. 74942-43 (Dec. 13, 2006). The NLRB will further explain these uses upon request. Disclosure of this information to the NLRB is voluntary; however, failure to supply the information may cause the NLRB to decline to invoke its processes.

NxGen "C" Assignment Sheet

Case Name: Rocket Mortgage Category: 2
 Method of Receipt eFile Date Filed 04/04/2023 Amended Charge? ☐ Yes ☒ No
 Assign To: Doyle Choose an item. Gordon Choose an item.

(Supervisor) (Agent)
 Case/Inquiry Number: (b) (6), (b) (7)(C) Potential 10(j)? ☐ Yes ☒ No Related/Blocked Cases: _____
 Coordination? ☐ Yes ☐ No ☐ Cat 3 Organizing ☐ U.S. Postal Information Case Region _____
 Bargaining Status: ☐ Existing Contract ☐ Organizational Campaign ☒ None
☐ Seeking Initial Contract ☐ Seeking Successor Contract

- | | | |
|---|--|--|
| <p>CA - 8(a)(1):</p> <ul style="list-style-type: none"> <input type="checkbox"/> Coercive Actions (Surveillance, etc.) <input type="checkbox"/> Coercive Rules <input type="checkbox"/> Coercive Statements (Threats, Promises of Benefits, etc.) <input checked="" type="checkbox"/> Concerted Activities (Retaliation, Discharge, Discipline) <input type="checkbox"/> Denial of Access <input type="checkbox"/> Discharge of supervisor (Parker-Robb Chevrolet) <input type="checkbox"/> Interrogation (Including Polling) <input type="checkbox"/> Lawsuits <input type="checkbox"/> Weingarten <p>CA - 8(a)(2):</p> <ul style="list-style-type: none"> <input type="checkbox"/> Assistance <input type="checkbox"/> Domination <input type="checkbox"/> Unlawful Recognition <p>CA - 8(a)(3):</p> <ul style="list-style-type: none"> <input type="checkbox"/> Changes in Terms and Conditions of Employment <input type="checkbox"/> Discharge (Including Layoff and Refusal to Hire (not salting)) <input type="checkbox"/> Discipline <input type="checkbox"/> Lockout <input type="checkbox"/> Refusal to Consider/Hire Applicant (salting only) <input type="checkbox"/> Refusal to Hire Majority <input type="checkbox"/> Refusal to Reinstate E'ee/Striker (e.g. Laidlaw) <input type="checkbox"/> Retaliatory Lawsuit <input type="checkbox"/> Shutdown or Relocate/Subcontract Unit Work <input type="checkbox"/> Union Security Related Actions <p>CA - 8(a)(4):</p> <ul style="list-style-type: none"> <input type="checkbox"/> Changes in Terms and Conditions of Employment <input type="checkbox"/> Discharge (Including Layoff and Refusal to Hire) <input type="checkbox"/> Discipline <input type="checkbox"/> Refusal to Reinstate Employee/Striker | <p><input type="checkbox"/> Shutdown or Relocate/Subcontract Unit Work</p> <p>CA - 8(a)(5):</p> <ul style="list-style-type: none"> <input type="checkbox"/> Alter Ego <input type="checkbox"/> Failure to Sign Agreement <input type="checkbox"/> Refusal to Bargain/Bad Faith Bargaining (incl'g surface bargaining/direct dealing) <input type="checkbox"/> Refusal to Furnish Information <input type="checkbox"/> Refusal to Recognize <input type="checkbox"/> Repudiation/Modification of Contract [Sec. 8(d)/Unilateral Changes] <input type="checkbox"/> Shutdown or Relocate (e.g., First National Maint.) Subcontract Work <p>CB - 8(b)(1)(A):</p> <ul style="list-style-type: none"> <input type="checkbox"/> Coercion, Incl'g Statements and Violence <input type="checkbox"/> Denial of Access <input type="checkbox"/> Discipline (including charges/fines)/Harassment <input type="checkbox"/> Duty of Fair Representation, incl'g Superseniority, denial of access <input type="checkbox"/> Hiring Halls <input type="checkbox"/> Picketing/Strike Actions <input type="checkbox"/> Rules: Coercive <input type="checkbox"/> Union Dues and/or Membership Related (including excessing fees) <p>CB - 8(b)(1)(B):</p> <ul style="list-style-type: none"> <input type="checkbox"/> Fund Contribution Related <input type="checkbox"/> Lawsuits <input type="checkbox"/> Other Allegations <input type="checkbox"/> Statements/Threats/Violence <p>CB - 8(b)(2):</p> <ul style="list-style-type: none"> <input type="checkbox"/> Hiring Hall Related <input type="checkbox"/> Lawsuits <input type="checkbox"/> Union Security Related Actions <input type="checkbox"/> Causing the Employer to Discriminate/Retaliate <p>CB - 8(b)(3):</p> | <p><input type="checkbox"/> Failure to Sign Agreement</p> <p><input type="checkbox"/> Refusal to Bargain/Bad Faith or Surface Bargaining</p> <p><input type="checkbox"/> Refusal to Furnish Information</p> <p><input type="checkbox"/> Repudiation/Modification of Contract</p> <p>CB - 8(b)(5):</p> <ul style="list-style-type: none"> <input type="checkbox"/> All Allegations <p>CB - 8(b)(6):</p> <ul style="list-style-type: none"> <input type="checkbox"/> All Allegations <p>CC - 8(b)(4)(A):</p> <ul style="list-style-type: none"> <input type="checkbox"/> Lawsuits/Grievances <input type="checkbox"/> Picketing/Handbilling <input type="checkbox"/> Statements <p>CC - 8(b)(4)(B):</p> <ul style="list-style-type: none"> <input type="checkbox"/> Lawsuits/Grievances <input type="checkbox"/> Picketing/Handbilling <input type="checkbox"/> Statements <p>CC - 8(b)(4)(C):</p> <ul style="list-style-type: none"> <input type="checkbox"/> Lawsuits/Grievances <input type="checkbox"/> Picketing <input type="checkbox"/> Statements <p>CD - 8(b)(4)(D):</p> <ul style="list-style-type: none"> <input type="checkbox"/> All Allegations <p>CD - 8(b)(7)(A):</p> <ul style="list-style-type: none"> <input type="checkbox"/> All Allegations <p>CD - 8(b)(7)(B):</p> <ul style="list-style-type: none"> <input type="checkbox"/> All Allegations <p>CD - 8(b)(7)(C):</p> <ul style="list-style-type: none"> <input type="checkbox"/> All Allegations <p>CE - 8(e):</p> |
|---|--|--|

☐ All Allegations against a Labor
Organization

☐ All Allegations against an Employer

CG - 8(g):

☐ All Allegations



UNITED STATES GOVERNMENT
NATIONAL LABOR RELATIONS BOARD

REGION 28

2600 North Central Avenue
Suite 1400
Phoenix, AZ 85004-3099

Agency Website: www.nlr.gov
Telephone: (602)640-2160
Fax: (602)640-2178



Download
NLRB
Mobile App

April 12, 2023

Rocket Mortgage
1 North Central Avenue
Suite 2000
Phoenix, AZ 85004

Re: Rocket Mortgage
Case 28-CA-315961

Ladies and Gentlemen:

Enclosed is a copy of a charge that has been filed in this case. This letter tells you how to contact the Board agent who will be investigating the charge, explains your right to be represented, discusses presenting your evidence, and provides a brief explanation of our procedures, including how to submit documents to the NLRB.

Investigator: This charge is being investigated by Field Attorney Nicholas Gordon whose telephone number is (602)416-4756. If this Board agent is not available, you may contact Supervisory Field Attorney Christopher J. Doyle whose telephone number is (602)416-4762.

Right to Representation: You have the right to be represented by an attorney or other representative in any proceeding before us. If you choose to be represented, your representative must notify us in writing of this fact as soon as possible by completing *Form NLRB-4701, Notice of Appearance*. This form is available on our website, www.nlr.gov, or from an NLRB office upon your request.

If you are contacted by someone about representing you in this case, please be assured that no organization or person seeking your business has any "inside knowledge" or favored relationship with the National Labor Relations Board. Their knowledge regarding this proceeding was only obtained through access to information that must be made available to any member of the public under the Freedom of Information Act.

Presentation of Your Evidence: We seek prompt resolutions of labor disputes. Therefore, I urge you or your representative to submit a complete written account of the facts and a statement of your position with respect to the allegations set forth in the charge as soon as possible. If the Board agent later asks for more evidence, I strongly urge you or your representative to cooperate fully by promptly presenting all evidence relevant to the investigation. In this way, the case can be fully investigated more quickly.

Full and complete cooperation includes providing witnesses to give sworn affidavits to a Board agent, and providing all relevant documentary evidence requested by the Board agent. Sending us your written account of the facts and a statement of your position is not enough to be considered full and complete cooperation. A refusal to fully cooperate during the investigation might cause a case to be litigated unnecessarily.

In addition, either you or your representative must complete the enclosed Commerce Questionnaire to enable us to determine whether the NLRB has jurisdiction over this dispute. If you recently submitted this information in another case, or if you need assistance completing the form, please contact the Board agent.

We will not honor requests to limit our use of position statements or evidence. Specifically, any material you submit may be introduced as evidence at a hearing before an administrative law judge regardless of claims of confidentiality. However, certain evidence produced at a hearing may be protected from public disclosure by demonstrated claims of confidentiality.

Further, the Freedom of Information Act may require that we disclose position statements or evidence in closed cases upon request, unless an exemption applies, such as those protecting confidential financial information or personal privacy interests.

Preservation of all Potential Evidence: Please be mindful of your obligation to preserve all relevant documents and electronically stored information (ESI) in this case, and to take all steps necessary to avoid the inadvertent loss of information in your possession, custody or control. Relevant information includes, but is not limited to, paper documents and all ESI (e.g. SMS text messages, electronic documents, emails, and any data created by proprietary software tools) related to the above-captioned case.

Prohibition on Recording Affidavit Interviews: It is the policy of the General Counsel to prohibit affiants from recording the interview conducted by Board agents when subscribing Agency affidavits. Such recordings may impede the Agency's ability to safeguard the confidentiality of the affidavit itself, protect the privacy of the affiant and potentially compromise the integrity of the Region's investigation.

Correspondence: All documents submitted to the Region regarding your case MUST be filed through the Agency's website, www.nlr.gov. This includes all formal pleadings, briefs, as well as affidavits, documentary evidence, and position statements. The Agency requests all evidence submitted electronically to be in the form it is normally used and maintained in the course of business (i.e., native format). Where evidence submitted electronically is not in native format, it should be submitted in a manner that retains the essential functionality of the native format (i.e., in a machine-readable and searchable electronic format).

If you have questions about the submission of evidence or expect to deliver a large quantity of electronic records, please promptly contact the Board agent investigating the charge. If you cannot e-file your documents, you must provide a statement explaining why you do not

have access to the means for filing electronically or why filing electronically would impose an undue burden.

In addition, this Region will be issuing case-related correspondence and documents, including complaints, compliance specifications, dismissal letters, deferral letters, and withdrawal letters, electronically to the email address you provide. To ensure that you receive important case-related correspondence, please ensure that the Board Agent assigned to your case has your preferred email address. These steps will ensure that you receive correspondence faster and at a significantly lower cost to the taxpayer. If there is some reason you are unable to receive correspondence via email, please contact the agent assigned to your case to discuss the circumstances that prevent you from using email.

Controlled Unclassified Information (CUI): This National Labor Relations Board (NLRB) proceeding may contain Controlled Unclassified Information (CUI). Subsequent information in this proceeding may also constitute CUI. National Archives and Records Administration (NARA) regulations at 32 CFR Part 2002 apply to all executive branch agencies that designate or handle information that meets the standards for CUI.

* * *

Information about the Agency, the procedures we follow in unfair labor practice cases and our customer service standards is available on our website, www.nlr.gov or from an NLRB office upon your request. *NLRB Form 4541, Investigative Procedures* offers information that is helpful to parties involved in an investigation of an unfair labor practice charge.

We can provide assistance for persons with limited English proficiency or disability. Please let us know if you or any of your witnesses would like such assistance.

Very truly yours,



Cornele A. Overstreet
Regional Director

Enclosures:

1. Copy of Charge
2. Commerce Questionnaire

CAO/NG/acp

QUESTIONNAIRE ON COMMERCE INFORMATION

Please read carefully, answer all applicable items, and return to the NLRB Office. If additional space is required, please add a page and identify item number.

CASE NAME	CASE NUMBER 28-CA-315961
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1. EXACT LEGAL TITLE OF ENTITY (As filed with State and/or stated in legal documents forming entity)

2. TYPE OF ENTITY

☐ CORPORATION ☐ LLC ☐ LLP ☐ PARTNERSHIP ☐ SOLE PROPRIETORSHIP ☐ OTHER (Specify)

3. IF A CORPORATION or LLC

A. STATE OF INCORPORATION OR FORMATION	B. NAME, ADDRESS, AND RELATIONSHIP (e.g. parent, subsidiary) OF ALL RELATED ENTITIES
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4. IF AN LLC OR ANY TYPE OF PARTNERSHIP, FULL NAME AND ADDRESS OF ALL MEMBERS OR PARTNERS

5. IF A SOLE PROPRIETORSHIP, FULL NAME AND ADDRESS OF PROPRIETOR

6. BRIEFLY DESCRIBE THE NATURE OF YOUR OPERATIONS (Products handled or manufactured, or nature of services performed).

7A. PRINCIPAL LOCATION:

7B. BRANCH LOCATIONS:

8. NUMBER OF PEOPLE PRESENTLY EMPLOYED

A. TOTAL:

B. AT THE ADDRESS INVOLVED IN THIS MATTER:

9. DURING THE MOST RECENT (Check the appropriate box): ☐ CALENDAR ☐ 12 MONTHS or ☐ FISCAL YEAR (FY DATES _____)

	YES	NO
A. Did you provide services valued in excess of \$50,000 directly to customers outside your State? If no, indicate actual value. \$ _____		
B. If you answered no to 9A, did you provide services valued in excess of \$50,000 to customers in your State who purchased goods valued in excess of \$50,000 from directly outside your State? If no, indicate the value of any such services you provided. \$ _____		
C. If you answered no to 9A and 9B, did you provide services valued in excess of \$50,000 to public utilities, transit systems, newspapers, health care institutions, broadcasting stations, commercial buildings, educational institutions, or retail concerns? If less than \$50,000, indicate amount. \$ _____		
D. Did you sell goods valued in excess of \$50,000 directly to customers located outside your State? If less than \$50,000, indicate amount. \$ _____		
E. If you answered no to 9D, did you sell goods valued in excess of \$50,000 directly to customers located inside your State who purchased other goods valued in excess of \$50,000 from directly outside your State? If less than \$50,000, indicate amount. \$ _____		
F. Did you purchase and receive goods valued in excess of \$50,000 from directly outside your State? If less than \$50,000, indicate amount. \$ _____		
G. Did you purchase and receive goods valued in excess of \$50,000 from enterprises who received the goods directly from points outside your State? If less than \$50,000, indicate amount. \$ _____		
H. Gross Revenues from all sales or performance of services (Check the largest amount) <input type="checkbox"/> \$100,000 <input type="checkbox"/> \$250,000 <input type="checkbox"/> \$500,000 <input type="checkbox"/> \$1,000,000 or more If less than \$100,000, indicate amount.		
I. Did you begin operations within the last 12 months? If yes, specify date: _____		

10. ARE YOU A MEMBER OF AN ASSOCIATION OR OTHER EMPLOYER GROUP THAT ENGAGES IN COLLECTIVE BARGAINING?

☐ YES ☐ NO (If yes, name and address of association or group).

11. REPRESENTATIVE BEST QUALIFIED TO GIVE FURTHER INFORMATION ABOUT YOUR OPERATIONS

NAME	TITLE	E-MAIL ADDRESS	TEL. NUMBER
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12. AUTHORIZED REPRESENTATIVE COMPLETING THIS QUESTIONNAIRE

NAME AND TITLE (Type or Print)	SIGNATURE	E-MAIL ADDRESS	DATE
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PRIVACY ACT STATEMENT

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UNITED STATES OF AMERICA
BEFORE THE NATIONAL LABOR RELATIONS BOARD

ROCKET MORTGAGE

Charged Party

and

(b) (6), (b) (7)(C), AN INDIVIDUAL

Charging Party

Case 28-CA-315961

AFFIDAVIT OF SERVICE OF CHARGE AGAINST EMPLOYER

I, the undersigned employee of the National Labor Relations Board, state under oath that on April 12, 2023, I served the above-entitled document(s) by post-paid regular mail upon the following persons, addressed to them at the following addresses:

Rocket Mortgage
1 North Central Avenue
Suite 2000
Phoenix, AZ 85004

April 12, 2023

Date

Abbra Pyle, Designated Agent of NLRB

Name

/s/ Abbra Pyle

Signature



UNITED STATES GOVERNMENT
NATIONAL LABOR RELATIONS BOARD

REGION 28

2600 North Central Avenue
Suite 1400
Phoenix, AZ 85004-3099

Agency Website: www.nlr.gov
Telephone: (602)640-2160
Fax: (602)640-2178



Download
NLRB
Mobile App

April 12, 2023

(b) (6), (b) (7)(C)

Re: Rocket Mortgage
Case 28-CA-315961

Dear (b) (6), (b) (7)(C):

The charge that you filed in this case on April 04, 2023 has been docketed as case number 28-CA-315961. This letter tells you how to contact the Board agent who will be investigating the charge, explains your right to be represented, discusses presenting your evidence, and provides a brief explanation of our procedures, including how to submit documents to the NLRB.

Investigator: This charge is being investigated by Field Attorney Nicholas Gordon whose telephone number is (602)416-4756. If this Board agent is not available, you may contact Supervisory Field Attorney Christopher J. Doyle whose telephone number is (602)416-4762.

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Presentation of Your Evidence: As the party who filed the charge in this case, it is your responsibility to meet with the Board agent to provide a sworn affidavit, or provide other witnesses to provide sworn affidavits, and to provide relevant documents within your possession. Because we seek to resolve labor disputes promptly, you should be ready to promptly present your affidavit(s) and other evidence. If you have not yet scheduled a date and time for the Board

agent to take your affidavit, please contact the Board agent to schedule the affidavit(s). If you fail to cooperate in promptly presenting your evidence, your charge may be dismissed without investigation.

Preservation of all Potential Evidence: Please be mindful of your obligation to preserve all relevant documents and electronically stored information (ESI) in this case, and to take all steps necessary to avoid the inadvertent loss of information in your possession, custody or control. Relevant information includes, but is not limited to, paper documents and all ESI (e.g. SMS text messages, electronic documents, emails, and any data created by proprietary software tools) related to the above-captioned case.

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* * *

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We can provide assistance for persons with limited English proficiency or disability. Please let us know if you or any of your witnesses would like such assistance.

Very truly yours,



Cornele A. Overstreet
Regional Director

Enclosures:

1. Important Information About NLRB Investigations for Immigrant Workers (English & Spanish)
2. Copy of Charge

CAO/NG/acp



Important Information About NLRB Investigations for Immigrant Workers



The National Labor Relations Act (NLRA) protects most private-sector employees, regardless of their immigration status. The NLRA gives employees the right to:

- Form, join, or assist a union to negotiate concerning wages and other working conditions.
- Discuss wages and other working conditions with coworkers, a union, a worker center, a government agency, the media, or the public.
- Take collective action with coworkers to try to improve wages and other working conditions.
- Choose not to take part in any of these actions.

Below is important information for you to know about our confidential investigation process:

- Because immigration status is not relevant as to whether there has been a violation of the NLRA:
 - We will **NOT** ask you about your immigration status.
 - You **DO NOT** need to share any information with us about your immigration status.
 - You **DO NOT** need to share information about the status of your current/former coworkers.
- We only enforce the NLRA and have **NO** involvement with the enforcement of immigration laws.
- We will **NOT** share any information about you with the Department of Homeland Security (DHS), including Immigration and Customs Enforcement (ICE), or any other immigration authorities, unless you request that we share your information to assist you with seeking immigration relief, as described in the last bulleted point of this document.
- If you have concerns about appearing at our offices for any reason, please speak with the Board Agent assigned to the case about other methods of participating in the investigation, including taking your affidavit outside of our office or by video.
- Our investigations are confidential, which means that we will **NOT** disclose your affidavit to an employer, unless you testify at a trial, or we seek a federal court injunction.
- If you are not comfortable communicating with us in English, we will make an interpreter available to provide assistance and information in your preferred language.
- If you are aware that an employer or union has engaged in any of the following conduct, please tell the Board Agent about it because it may violate the law:

- Threatening to call DHS or ICE or making other similar threats because you or other employees have engaged in union activity or other collective action to improve working conditions.
 - Asking employees to provide new or updated immigration documents/papers or reverifying employees' work authorization without a valid, non-discriminatory reason, which could violate the NLRA or other laws.
- If, at the end of the investigation, we determine there is merit to the charge (the employer or union has violated the law) and we have to litigate the case before an Administrative Law Judge, we will make every effort to prevent the employer or union from asking you about your immigration status.
- If you have filed a charge or are a witness and you or your representative tells us that there is NLRA protected activity at a worksite and immigration relief is necessary to protect employees who are exercising those rights or participating in the NLRB process, the NLRB will consider seeking immigration relief for employees at that worksite including deferred action, parole, U or T visa status, or other relief as available and appropriate. The NLRB cannot provide immigration advice. If you need immigration counsel, a list of providers of free legal services is available here:
<https://www.justice.gov/eoir/list-pro-bono-legal-service-providers>.

For more information on the NLRB, please visit our website, www.nlrb.gov.



Información Importante Acerca de las Investigaciones de la NLRB para los Trabajadores Inmigrantes



La Ley Nacional de Relaciones del Trabajo (NLRA por sus siglas en inglés) protege a la mayoría de los empleados del sector privado, independientemente de su estatus migratorio.

La NLRA les da a los empleados el derecho a:

- Formar, afiliarse o ayudar a una unión para negociar sobre los salarios y otras condiciones de trabajo.
- Discutir los salarios y otras condiciones de trabajo con los compañeros de trabajo, una unión, un centro de trabajadores, una agencia gubernamental, los medios de comunicación o el público.
- Tomar acciones colectivas con los compañeros de trabajo para tratar de mejorar los salarios y otras condiciones de trabajo.
- Optar por no participar en ninguna de estas acciones.

A continuación, le presentamos información importante que debe conocer acerca de nuestro proceso de investigación confidencial:

- Porque el estatus migratorio no es pertinente si ha habido una violación de la NLRA:
 - Nosotros **NO** le preguntaremos sobre su estatus migratorio.
 - Usted **NO NECESITA** compartir ninguna información con nosotros acerca de su estatus migratorio.
 - Usted **NO NECESITA** compartir ninguna información sobre el estatus [migratorio] de sus actuales/antiguos compañeros de trabajo.
- Sólo hacemos cumplir la NLRA y **NO** estamos involucrados en el cumplimiento de las leyes de inmigración.
- **NO** compartimos ninguna información sobre usted con el Departamento de Seguridad Nacional (DHS por sus siglas en inglés), incluyendo el Servicio de Inmigración y Control de Aduanas (ICE por sus siglas en inglés) o cualquier otra autoridad de inmigración, a menos que usted solicite que compartamos su información para ayudarlo a buscar alivio migratorio, como se describe en el último punto de este documento.
- Si tiene preocupaciones acerca de presentarse en nuestras oficinas por cualquier razón, por favor hable con el agente de la Junta asignado al caso sobre otras maneras de participar en la investigación, incluyendo tomar su declaración jurada fuera de nuestra oficina o por video.
- Nuestras investigaciones son confidenciales, lo que significa que **NO** divulgaremos su declaración jurada a un empleador, a menos que usted testifique en un juicio, o que busquemos un mandato judicial federal.
- Si no está cómodo/a comunicándose con nosotros en inglés, tendremos un intérprete disponible para proporcionarle asistencia e información en su idioma predilecto.

- Si usted sabe que un empleador o unión ha incurrido en alguna de las siguientes conductas, por favor infórmele al agente de la Junta ya que puede violar la ley:
 - Amenazar con llamar al DHS o al ICE o hacer otras amenazas similares porque usted u otros empleados han participado en actividades sindicales u otras acciones colectivas para mejorar las condiciones de trabajo.
 - Pedir a los empleados que proporcionen documentos/papeles de inmigración nuevos o actualizados o volver a verificar la autorización de trabajo de los empleados sin una razón válida y no discriminatoria, que podría violar la NLRA u otras leyes.
- Si, al final de la investigación, determinamos que el cargo tiene mérito (el empleador o la unión han violado la ley) y tenemos que litigar el caso frente a un Juez de Ley Administrativa, haremos todo lo posible para evitar que el empleador o la unión le pregunten sobre su estatus migratorio.
- Si usted ha presentado un cargo o es un testigo y usted o su representante nos dice que se hay una actividad protegida por la NLRA en un lugar de trabajo y que es necesario un alivio migratorio para proteger a los empleados que están ejerciendo esos derechos o participando en el proceso de la Junta Nacional de Relaciones del Trabajo (NLRB por sus siglas en ingles), la NLRB considerará la posibilidad de buscar un alivio migratorio para los empleados en ese lugar de trabajo, incluyendo la acción diferida, la libertad condicional, visas U o T u otro alivio en la medida en que esté disponible y sea apropiado. La NLRB no puede proporcionar asesoramiento de inmigración. Si necesita asesoramiento de inmigración, una lista de proveedores de servicios legales sin costo se encuentra disponible aquí (en inglés): <https://www.justice.gov/eoir/list-pro-bono-legal-service-providers>.

Para más información acerca de la NLRB, por favor visite nuestra página web, www.nlrb.gov.

NATIONAL LABOR RELATIONS BOARD

NOTICE OF APPEARANCE

Rocket Mortgage
and
An Individual

CASE 28-CA-315961

☒ REGIONAL DIRECTOR

☐ EXECUTIVE SECRETARY
NATIONAL LABOR RELATIONS BOARD
Washington, DC 20570

☐ GENERAL COUNSEL
NATIONAL LABOR RELATIONS BOARD
Washington, DC 20570

THE UNDERSIGNED HEREBY ENTERS APPEARANCE AS REPRESENTATIVE OF _____
Rocket Mortgage

IN THE ABOVE-CAPTIONED MATTER.

CHECK THE APPROPRIATE BOX(ES) BELOW:

☒ REPRESENTATIVE IS AN ATTORNEY

☒ IF REPRESENTATIVE IS AN ATTORNEY, IN ORDER TO ENSURE THAT THE PARTY MAY RECEIVE COPIES OF CERTAIN DOCUMENTS OR CORRESPONDENCE FROM THE AGENCY IN ADDITION TO THOSE DESCRIBED BELOW, THIS BOX MUST BE CHECKED. IF THIS BOX IS NOT CHECKED, THE PARTY WILL RECEIVE ONLY COPIES OF CERTAIN DOCUMENTS SUCH AS CHARGES, PETITIONS AND FORMAL DOCUMENTS AS DESCRIBED IN SEC. 11842.3 OF THE CASEHANDLING MANUAL.

(REPRESENTATIVE INFORMATION)

NAME: Kelcey J. Phillips	
MAILING ADDRESS: Morgan, Lewis & Bockius LLP, 1111 Pennsylvania Avenue, NW, Washington, D.C. 20004	
E-MAIL ADDRESS: kelcey.phillips@morganlewis.com	
OFFICE TELEPHONE NUMBER: (202) 739-5455	
CELL PHONE NUMBER:	FAX: (202) 739-3001
SIGNATURE: /s/ Kelcey J. Phillips	
DATE: (Please sign in ink.) May 1, 2023	

¹ IF CASE IS PENDING IN WASHINGTON AND NOTICE OF APPEARANCE IS SENT TO THE GENERAL COUNSEL OR THE EXECUTIVE SECRETARY, A COPY SHOULD BE SENT TO THE REGIONAL DIRECTOR OF THE REGION IN WHICH THE CASE WAS FILED SO THAT THOSE RECORDS WILL REFLECT THE APPEARANCE.

NATIONAL LABOR RELATIONS BOARD

NOTICE OF APPEARANCE

Rocket Mortgage
and
An Individual

CASE 28-CA-315961

☒ REGIONAL DIRECTOR

☐ EXECUTIVE SECRETARY
NATIONAL LABOR RELATIONS BOARD
Washington, DC 20570

☐ GENERAL COUNSEL
NATIONAL LABOR RELATIONS BOARD
Washington, DC 20570

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Rocket Mortgage


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(REPRESENTATIVE INFORMATION)

NAME: David Broderdorf	
MAILING ADDRESS: Morgan, Lewis & Bockius LLP, 1111 Pennsylvania Avenue, NW, Washington, D.C. 20004	
E-MAIL ADDRESS: david.broderdorf@morganlewis.com	
OFFICE TELEPHONE NUMBER: (202) 739-5817	
CELL PHONE NUMBER:	FAX: (202) 739-3001
SIGNATURE: 	
DATE: (Please sign in ink.) May 1, 2023	

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From: (b) (6), (b) (7)(C)
To: [Gordon, Nicholas](#)
Subject: Re: Affidavit Scheduling: 28-CA-315961 Rocket Mortgage
Date: Thursday, May 4, 2023 4:06:42 PM
Attachments: [NLRB Letter-1.pdf](#)

CAUTION: The sender of this message is external to the NLRB network. Please use care when clicking on links and responding with sensitive information. Forward suspicious emails to [nlrbirc@nrlb.gov](mailto:nlrbiirc@nrlb.gov).

May 4, 2023

Nicholas Gordon
National Labor Relations Board
2600 N. Central Ave. #1400
Phoenix AZ 85004

Dear Nicholas Gordon,

I am writing to request the withdrawal of case number 28-CA-315961, which I filed on April 4, 2023, as (b) (6), (b) (7)(C). The case was related to a Section 8(a)(1) violation, but I am happy to inform you that an amicable settlement has been reached between myself and Rocket Mortgage. As such, I would like to facilitate a withdraw of the charge filed with the National Labor Relations Board (NLRB) in this matter. I understand that this request must be made in writing, and I am signing and dating this request for your records.

Thank you for your prompt attention to this matter, and please let me know if there are any further steps required on my part to ensure the withdrawal of this charge.

Sincerely,
(b) (6), (b) (7)(C)

On Tue, Apr 18, 2023, 16:09 Gordon, Nicholas <Nicholas.Gordon@nrlb.gov> wrote:

CAUTION: This email and any attachments may contain Controlled Unclassified Information (CUI). National Archives and Records Administration (NARA) regulations at 32 CFR Part 2002 apply to all executive branch agencies that designate or handle information that meets the standards for CUI.

Hello (b) (6), (b) (7)(C)

My name is Nick Gordon and I am the Board Agent assigned to investigate charge 28-CA-315961 filed against the Rocket Mortgage and alleging a Section 8(a)(1) violation. Please read this message carefully as it contains important information about the next steps in your case.

I need you to submit your evidence in support of this matter via e-filing on the NLRB.gov website. **Please be aware that the only method for submitting evidence in support of your charge is by e-filing, any evidence submitted by email, mail, or fax will be returned to you and not considered when making a determination.** Generally, in a retaliation case, I will need copies of discipline documents, communications between the employee and management about any collective group action, documents reflecting the employee raising group complaints to management, any documents explaining the Employer's reason for disciplining the employee, and the employee's disciplinary letter (if any).

In addition, I need to schedule a time for you and/or the employee to provide an affidavit. An affidavit is sworn testimony, given under oath, similar to testifying in court. The affidavit is the Board's main tool for investigating your charge. Therefore, you should plan on spending the majority of the day testifying. **In order to prepare for our meeting, please e-file copies of the evidence you intend to present in support of your case at least 48 hours in advance so that I may review it.** Per the new General Counsel rules, all evidence must be e-filed in order to be considered by the Region during the investigation. I am available the following days to take affidavits:

- 5/2 at 9:00am (MST)
- 5/3 at 9:00am (MST)
- 5/4 at 9:00am (MST)

Please let me know which date you are available. I would expect the affidavit to last throughout the day depending on how quickly we can move through the testimony. Once I have more background information about the content of the charge, I will have a better idea of how long the affidavit will last. I would ask you to plan on having the entire day available to finish the affidavit.

Due to COVID-19 policies, the Region requires all public visitors to show proof of vaccination and/or a negative PCR test within 48 hours prior to visiting the Regional Office. If you would like the affidavit to be conducted in person, please contact me to make suitable arrangements. If you are unwilling or unable to comply with these safety policies, then we may conduct the affidavit electronically through a video conference. Please let me know which method you would prefer and I can set up the meeting accordingly.

Please let me know if you have any questions.

Best,

Nicholas Gordon

Field Attorney

United States Government

National Labor Relations Board, Region 28-Phoenix
602-416-4756

2600 N Central Ave #1400

Phoenix, AZ 85004


The NLRB requires all parties to file documents

electronically through our online E-file system:

Documents: <https://apps.nlr.gov/eservice/efileterm.aspx>

New Charge/Petition:
[https://apps.nlr.gov/eservice/efileterm.aspx?
app=chargeandpetition](https://apps.nlr.gov/eservice/efileterm.aspx?app=chargeandpetition)

(b) (6), (b) (7)(C)



May 4, 2023

Nicholas Gordon,
National Labor Relations Board
2600 N. Central Ave. #1400, Phoenix AZ 85004

Dear Nicholas Gordon,

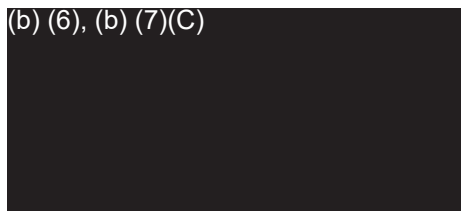
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As such, I would like to facilitate a withdraw of the charge filed with the National Labor Relations Board (NLRB) in this matter. I understand that this request must be made in writing, and I am signing and dating this request for your records.

Thank you for your prompt attention to this matter, and please let me know if there are any further steps required on my part to ensure the withdrawal of this charge.


Sincerely,

(b) (6), (b) (7)(C)



May 4, 2023

(b) (6), (b) (7)(C)



From: (b) (6), (b) (7)(C)
To: [Gordon, Nicholas](#)
Subject: Re: Affidavit Scheduling: 28-CA-315961 Rocket Mortgage
Date: Friday, May 5, 2023 4:52:04 PM
Attachments: [2023.05.04 Settlement Agreement - No 28-CA-315961 \(b\) \(6\), \(b\) \(7\)\(C\) \(004\) \(Fully Executed\).pdf](#)

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Good Evening Nicholas,

Thank you for your prompt response.

Please find attached the settlement agreement.

The monetary remedy was calculated as 6 weeks of additional pay ((b) (6), (b) (7)(C) x 40 x 6). This monetary amount, I feel, fully remedies any back pay owed to me as well as resolves the issue in the charge.

Thank you again,
(b) (6), (b) (7)(C)

On Thu, May 4, 2023, 14:26 Gordon, Nicholas <Nicholas.Gordon@nlrb.gov> wrote:

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Hello (b) (6), (b) (7)(C),

Thank you for letting me know about the settlement. Before I can get a withdrawal processed, I need a bit more information from you. First, please send me a copy of the settlement agreement so I may add it to the case file. Second, if there was a monetary remedy in the settlement please let me know how the parties arrived at that amount (i.e. was it 40 hours of wages or some other formula). Finally, please let me know whether the monetary amount represents 100% of backpay owed to you and whether you agree that the settlement fully remedies the issues in the charge. Once I have that information (email is

fine) I can go ahead and get the withdrawal request processed.

Best,

Nicholas Gordon

Field Attorney

United States Government

National Labor Relations Board, Region 28-Phoenix
602-416-4756

2600 N Central Ave #1400

Phoenix, AZ 85004

The NLRB requires all parties to file documents

electronically through our online E-file system:

Documents: <https://apps.nlr.gov/eservice/efileterm.aspx>

New Charge/Petition:

[https://apps.nlr.gov/eservice/efileterm.aspx?
app=chargeandpetition](https://apps.nlr.gov/eservice/efileterm.aspx?app=chargeandpetition)

From: (b) (6), (b) (7)(C)

Sent: Thursday, May 4, 2023 2:06 PM

To: Gordon, Nicholas <Nicholas.Gordon@nlrb.gov>

Subject: Re: Affidavit Scheduling: 28-CA-315961 Rocket Mortgage

CAUTION: The sender of this message is external to the NLRB network. Please use

care when clicking on links and responding with sensitive information. Forward suspicious emails to nrbirc@nrlb.gov.

May 4, 2023

Nicholas Gordon

National Labor Relations Board

2600 N. Central Ave. #1400

Phoenix AZ 85004

Dear Nicholas Gordon,

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Thank you for your prompt attention to this matter, and please let me know if there are any further steps required on my part to ensure the withdrawal of this charge.

Sincerely,

(b) (6), (b) (7)(C)

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Hello (b) (6), (b) (7)(C)

My name is Nick Gordon and I am the Board Agent assigned to investigate charge 28-CA-315961 filed against the Rocket Mortgage and alleging a Section 8(a)(1) violation. Please read this message carefully as it contains important information about the next steps in your case.

I need you to submit your evidence in support of this matter via e-filing on the NLRB.gov website. **Please be aware that the only method for submitting evidence in support of your charge is by e-filing. any evidence submitted by email, mail, or fax will be returned to you and not considered when making a determination.** Generally, in a retaliation case, I will need copies of discipline documents, communications between the employee and management about any collective group action, documents reflecting the employee raising group complaints to management, any documents explaining the Employer's reason for disciplining the employee, and the employee's disciplinary letter (if any).

In addition, I need to schedule a time for you and/or the employee to provide an affidavit. An affidavit is sworn testimony, given under oath, similar to testifying in court. The affidavit is the Board's main tool for investigating your charge. Therefore, you should plan on spending the majority of the day testifying. **In order to prepare for our meeting, please e-file copies of the evidence you intend to present in support of your case at least 48 hours in advance so that I may review it.** Per the new General Counsel rules, all evidence must be e-filed in order to be considered by the Region during the investigation. I am available the following days to take affidavits:

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Please let me know which date you are available. I would expect the affidavit to last throughout the day depending on how quickly we can move through the testimony. Once I have more background information about the content of the charge, I will have a better idea of how long the affidavit will last. I would ask you to plan on having the entire day available to finish the affidavit.

Due to COVID-19 policies, the Region requires all public visitors to show proof of vaccination and/or a negative PCR test within 48 hours prior to visiting the Regional Office. If you would like the affidavit to be conducted in person, please contact me to

make suitable arrangements. If you are unwilling or unable to comply with these safety policies, then we may conduct the affidavit electronically through a video conference. Please let me know which method you would prefer and I can set up the meeting accordingly.

Please let me know if you have any questions.

Best,

Nicholas Gordon

Field Attorney

United States Government

National Labor Relations Board, Region 28-Phoenix
602-416-4756

2600 N Central Ave #1400

Phoenix, AZ 85004

The NLRB requires all parties to file documents

electronically through our online E-file system:

Documents: <https://apps.nlr.gov/eservice/efileterm.aspx>

New Charge/Petition:
[https://apps.nlr.gov/eservice/efileterm.aspx?
app=chargeandpetition](https://apps.nlr.gov/eservice/efileterm.aspx?app=chargeandpetition)

NON-BOARD SETTLEMENT AGREEMENT

This Non-Board Settlement Agreement (“Agreement”) is entered into between Rocket Mortgage, LLC (the “Company”) and (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) or “Employee”) (collectively, the “Parties”). This Agreement will be effective as of the date it is fully executed.

RECITALS

On April 4, 2023, (b) (6), (b) (7)(C) filed an unfair labor practice charge with the National Labor Relations Board (“NLRB”), Case No. 28-CA-315961 (“Charge”), alleging that the Company violated Section 8(a)(1) of the National Labor Relations Act (“NLRA”) by retaliating against (b) (6), (b) (7)(C) for engaging in protected, concerted activities. The Charge remains pending for investigation.

The Parties desire to settle and resolve all of their differences as to all matters which were, or could have been, raised in the Charge, without any further proceedings, investigation, or litigation; and

The Parties have entered into this Agreement of their own free will and with full knowledge of the obligations contained herein.

NOW, THEREFORE, in exchange for the promises and mutual covenants contained in this Agreement, the Parties agree to the following:

- Recitals.** The Parties agree to incorporate the foregoing recitals into and make them a part of this Agreement.
- Settlement Payment.** In consideration of (b) (6), (b) (7)(C) execution of this Agreement, the Company shall pay the total sum of (b) (6), (b) (7)(C) (“Settlement Payment”) to (b) (6), (b) (7)(C) taxed as W-2 wages and subject to all applicable taxes and deductions.

The Settlement Payment shall be issued fourteen (14) days after this Agreement has been executed by (b) (6), (b) (7)(C) returned to the Company, (b) (6), (b) (7)(C) has submitted a request to withdraw the Charge, and the Regional Director has approved (b) (6), (b) (7)(C) request to withdraw the Charge in accordance with Section 3 below.

- Withdrawal of Charge.** Within two (2) business days of execution of this Agreement, (b) (6), (b) (7)(C) will submit a written request to Region 28 of the NLRB (the “Region”) to withdraw the Charge and take any and all other actions as may be required to effectuate the Region’s approval of (b) (6), (b) (7)(C) request to withdraw Charge. The Parties agree that the provisions of this paragraph regarding the Region’s approval of the withdrawal of the Charge with prejudice is a material condition of this Agreement. This Agreement shall not be effective until this condition is met.

- Communications Not Prohibited.** Nothing in this Agreement prevents (b) (6), (b) (7)(C) from filing a different charge or complaint with or participating in an investigation or proceeding conducted by the Equal Employment Opportunity Commission, the NLRB, Department of Labor, Securities and Exchange Commission, or any comparable federal, state, or local agency for a separate matter.

5. **Confidentiality of Financial Terms.** (b) (6), (b) (7)(C) agrees to maintain the confidentiality of the amount of the Settlement Payment and will not disclose such amount to any persons except immediate members of (b) (6), (b) (7)(C) family, legal counsel, accountants, tax consultants, representatives of the NLRB, or other representatives, unless required by law.

6. **National Labor Relations Board is Not a Party.** The Parties acknowledge and agree that the NLRB is not a party to this Agreement.

7. **Certification of Parties.** (b) (6), (b) (7)(C) hereby represents and certifies that (b) (6), (b) (7)(C) 1) has carefully read all of this Agreement and general release; (2) understands its provisions; (3) has been advised by and consulted with (b) (6), (b) (7)(C) attorney(s) regarding this Agreement; (4) has determined that it is in (b) (6), (b) (7)(C) best interests to enter into this Agreement; (5) has not been influenced to sign this Agreement by any statement or representation by Company not contained in this Agreement; (6) is of sound mind and competence; and (7) enters into this Agreement knowingly and voluntarily.

8. **Entire Agreement.** This Agreement contains the entire agreement between the Company and (b) (6), (b) (7)(C) concerning the Charge and the NLRB's investigation. The Parties agree that the terms of this Agreement are valid and binding and no other agreement exists between the Parties, either verbal or in writing. This Agreement may not be modified, altered or changed except in writing and signed by both Parties.

9. **Signature in Counterparts.** The Parties may execute this Agreement in separate documents, and each such counterpart will be considered an original with the same effect as if the Parties had signed the same document. The Parties, by their signatures below, agree to all of the aforementioned terms.

(b) (6), (b) (7)(C)
(b) (6), (b) (7)(C)

Signature

May 4, 2023

Date

ROCKET MORTGAGE, LLC

DocuSigned by:
(b) (6), (b) (7)(C)
EB1126B12BBD4D0...

Signature

(b) (6), (b) (7)(C)

Printed Name

(b) (6), (b) (7)(C)

Title

5/5/2023

Date

From: [Phillips, Kelcey J.](#)
To: [Gordon, Nicholas](#)
Cc: david.broderdorf@morganlewis.com
Subject: RE: Charge and Docket Letter: Rocket Mortgage 28-CA-315961
Date: Monday, May 8, 2023 8:27:43 AM
Attachments: [2023.05.04 Settlement Agreement - No 28-CA-315961 \(b\) \(6\), \(b\) \(7\) \(004\) \(Fully Executed\).pdf](#)

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Mr. Gordon,

Thanks again for taking the time to speak last week. As discussed, attached please find a copy of the executed settlement agreement between Rocket Mortgage and Charging Party (b) (6), (b) (7)(C).

We also obtained information on the calculation for the "Settlement Payment." The Settlement Payment amount that Rocket and (b) (6), (b) (7)(C) agreed to is based on an extra 6 weeks of pay – which amounts to about (b) (6), (b) (7)(C) – to settle the matter. The ULP charge over the (b) (6), (b) (7)(C) 2023 demotion resulted in (b) (6), (b) (7)(C) earning about (b) (6), (b) (7)(C) less per week, which created theoretical damages under the charge of only around (b) (6), (b) (7)(C) to (b) (6), (b) (7)(C) when the settlement was executed. The Region can easily approve this withdrawal given the payment afforded to the Charging Party and the early, pre-merit stage of the investigation. If the Region has any questions regarding other considerations or factors in order to approve the withdrawal request, please afford Rocket Mortgage the opportunity to respond.

We are available to answer any additional questions on this matter.

Thanks!

Kelcey J. Phillips

Morgan, Lewis & Bockius LLP

1111 Pennsylvania Avenue, NW | Washington, DC 20004-2541

Direct: +1.202.739.5455 | Main: +1.202.739.3000 | Fax: +1.202.739.3001 | Mobile: +1.323.376.3589

kelcey.phillips@morganlewis.com | www.morganlewis.com

Assistant: (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) | (b) (6), (b) (7)(C)@morganlewis.com

From: Gordon, Nicholas <Nicholas.Gordon@nrlb.gov>

Sent: Monday, May 1, 2023 6:04 PM

To: Phillips, Kelcey J. <kelcey.phillips@morganlewis.com>; Broderdorf, David <david.broderdorf@morganlewis.com>

Subject: Charge and Docket Letter: Rocket Mortgage 28-CA-315961

[EXTERNAL EMAIL]

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Hello Ms. Phillips,

My name is Nick Gordon and I am the Board Agent assigned to the investigation in case 28-CA-315961 Rocket Mortgage. I received your voicemail this morning regarding the charge. Attached please find a copy of the charge and the docket letter which were sent to the Employer. At this time, there is nothing more I need from the Employer, but I will shortly be sending you a Request for Evidence letter providing more details about the charge and investigation. Please be on the lookout for that email as the Region typically gives short deadlines for the Employer to respond. If you have any questions or want to discuss please feel free to call me at 602-416-4756.

Best,

Nicholas Gordon
Field Attorney
United States Government
National Labor Relations Board, Region 28-Phoenix
602-416-4756
2600 N Central Ave #1400
Phoenix, AZ 85004

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New Charge/Petition:

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RECITALS

On April 4, 2023, (b) (6), (b) (7)(C) filed an unfair labor practice charge with the National Labor Relations Board (“NLRB”), Case No. 28-CA-315961 (“Charge”), alleging that the Company violated Section 8(a)(1) of the National Labor Relations Act (“NLRA”) by retaliating against (b) (6), (b) (7)(C) for engaging in protected, concerted activities. The Charge remains pending for investigation.

The Parties desire to settle and resolve all of their differences as to all matters which were, or could have been, raised in the Charge, without any further proceedings, investigation, or litigation; and

The Parties have entered into this Agreement of their own free will and with full knowledge of the obligations contained herein.

NOW, THEREFORE, in exchange for the promises and mutual covenants contained in this Agreement, the Parties agree to the following:

- Recitals.** The Parties agree to incorporate the foregoing recitals into and make them a part of this Agreement.
- Settlement Payment.** In consideration of (b) (6), (b) (7)(C) execution of this Agreement, the Company shall pay the total sum of (b) (6), (b) (7)(C) (“Settlement Payment”) to (b) (6), (b) (7)(C) taxed as W-2 wages and subject to all applicable taxes and deductions.

The Settlement Payment shall be issued fourteen (14) days after this Agreement has been executed by (b) (6), (b) (7)(C) returned to the Company, (b) (6), (b) (7)(C) has submitted a request to withdraw the Charge, and the Regional Director has approved (b) (6), (b) (7)(C) request to withdraw the Charge in accordance with Section 3 below.

- Withdrawal of Charge.** Within two (2) business days of execution of this Agreement, (b) (6), (b) (7)(C) will submit a written request to Region 28 of the NLRB (the “Region”) to withdraw the Charge and take any and all other actions as may be required to effectuate the Region’s approval of (b) (6), (b) (7)(C) request to withdraw Charge. The Parties agree that the provisions of this paragraph regarding the Region’s approval of the withdrawal of the Charge with prejudice is a material condition of this Agreement. This Agreement shall not be effective until this condition is met.

- Communications Not Prohibited.** Nothing in this Agreement prevents (b) (6), (b) (7)(C) from filing a different charge or complaint with or participating in an investigation or proceeding conducted by the Equal Employment Opportunity Commission, the NLRB, Department of Labor, Securities and Exchange Commission, or any comparable federal, state, or local agency for a separate matter.

5. **Confidentiality of Financial Terms.** (b) (6), (b) (7)(C) agrees to maintain the confidentiality of the amount of the Settlement Payment and will not disclose such amount to any persons except immediate members of (b) (6), (b) (7)(C) family, legal counsel, accountants, tax consultants, representatives of the NLRB, or other representatives, unless required by law.

6. **National Labor Relations Board is Not a Party.** The Parties acknowledge and agree that the NLRB is not a party to this Agreement.

7. **Certification of Parties.** (b) (6), (b) (7)(C) hereby represents and certifies that (b) (6), (b) (7)(C) 1) has carefully read all of this Agreement and general release; (2) understands its provisions; (3) has been advised by and consulted with (b) (6), (b) (7)(C) attorney(s) regarding this Agreement; (4) has determined that it is in (b) (6), (b) (7)(C) best interests to enter into this Agreement; (5) has not been influenced to sign this Agreement by any statement or representation by Company not contained in this Agreement; (6) is of sound mind and competence; and (7) enters into this Agreement knowingly and voluntarily.

8. **Entire Agreement.** This Agreement contains the entire agreement between the Company and (b) (6), (b) (7)(C) concerning the Charge and the NLRB's investigation. The Parties agree that the terms of this Agreement are valid and binding and no other agreement exists between the Parties, either verbal or in writing. This Agreement may not be modified, altered or changed except in writing and signed by both Parties.

9. **Signature in Counterparts.** The Parties may execute this Agreement in separate documents, and each such counterpart will be considered an original with the same effect as if the Parties had signed the same document. The Parties, by their signatures below, agree to all of the aforementioned terms.

(b) (6), (b) (7)(C)
(b) (6), (b) (7)(C)

Signature

May 4, 2023

Date

ROCKET MORTGAGE, LLC

DocuSigned by:
(b) (6), (b) (7)(C)
EB1126B12BBD4D0...

Signature

(b) (6), (b) (7)(C)

Printed Name

(b) (6), (b) (7)(C)

Title

5/5/2023

Date

Case Name: Rocket Mortgage
Case No.: 28-CA-315961
Agent: Field Attorney Nicholas Gordon

CASEHANDLING LOG

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UNITED STATES GOVERNMENT
NATIONAL LABOR RELATIONS BOARD
REGION 28
2600 North Central Avenue
Suite 1400
Phoenix, AZ 85004-3099

Agency Website: www.nlrb.gov
Telephone: (602)640-2160
Fax: (602)640-2178

May 15, 2023

Kelcey J. Phillips, Attorney at Law
David Broderdorf, Attorney at Law
Morgan, Lewis & Bockius LLP
1111 Pennsylvania Avenue, N.W.
Washington, DC 20004

Re: Rocket Mortgage
Case 28-CA-315961

Dear Ms. Phillips and Mr. Broderdorf:

This is to advise you that I have approved the withdrawal of the charge in the above matter.

Very truly yours,

/s/ Cornele A. Overstreet

Cornele A. Overstreet
Regional Director

cc: Tiffany Snow, Senior Counsel
Rocket Mortgage
1 North Central Avenue, Suite 2000
Phoenix, AZ 85004

(b) (6), (b) (7)(C)

CAO/NG/mhz